

Responsible Office: Congressional Liaison Division(Code LB)
Subject: Preparation of Initial NASA Operating Plan for Submission to Congress

Office of Legislative Affairs

Office Work Instruction

Preparation of Initial NASA Operating Plan For Submission to Congress

Original Approved by: s/ _____
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Associate Administrator
Office of Legislative Affairs

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DOCUMENT HISTORY LOG

<u>Status</u> <u>(Baseline/</u> <u>Revision/</u> <u>Canceled)</u>	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		12/10/1999	
Revision	A	5/10/00	Clarify actions taken with regard to the circulation of the operating plan for comment.
Revision	B	8/3/2000	Revisions made based on review of ISO 9001 Quality System Scope Expansion and Surveillance Audits Systemic Analysis 6/15/00 Checklist;. Added quality records for evidence of interim reviews and revised text to be more specific in addressing how concurrences are shown.

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1. Purpose

The purpose of this procedure is to define and document the process by which the Office of Legislative Affairs (Code L) develops and obtains approval of the initial NASA Operating Plan and forwards it to Congress.

2. Scope and Applicability

This OWI covers the approval and submittal of the initial NASA Operating Plan to Congress at the conclusion of the fiscal year appropriations process. The Office of the Comptroller (Code B) is responsible for preparing the initial draft operating plan.

3. Definitions

- 3.1 ADS: Action Document Summary (NHQ Form 117)
- 3.2 CC: Correspondence Clerk
- 3.3 CIC: Headquarters Correspondence Management Office
- 3.4 DAA: Deputy Associate Administrator
- 3.5 DMS: Document Management System
- 3.6 HATS: Headquarters Action Tracking System
- 3.7 Initial Operating Plan: Operating Plan developed at conclusion of the approval of the Congressional fiscal year appropriations process.
- 3.8 LAS: Legislative Affairs Specialist in the Liaison Division
- 3.9 Code LB: Office of Legislative Affairs/Liaison Division
- 3.10 Code B: Office of the Comptroller
- 3.11 Code LD: Inquiries Division within Office of Legislative Affairs
- 3.12 OMB: Office of Management and Budget

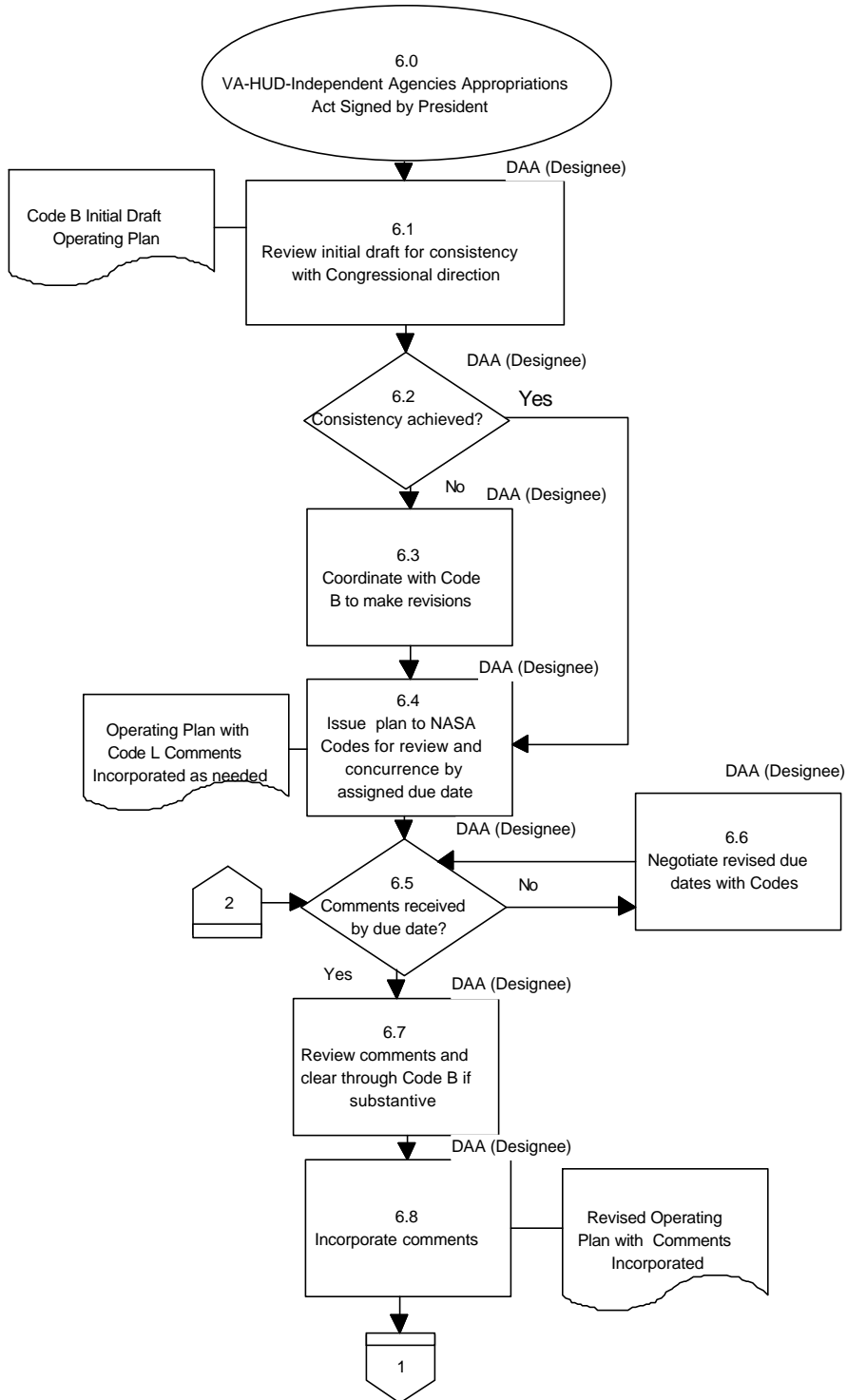
4. References

- 4.1 Senate Report 96-926 accompanying the Department of Housing and Urban Development-Independent Agencies Appropriations bill, 1981. Report dated September 4, 1980. (Page 69)
- 4.2 Memorandum from Terry Finn to Wally Berger and Tom van der Voort outlining budget detail to be provided in annual operating plan dated August 6, 1981.
- 4.3 Senate Report 106-161 accompanying the FY 2000 VA-HUD-IA Appropriations Bill (Page 4).
- 4.4 House Report 106-379, Conference Report accompanying the FY 2000 VA-HUD-IA Appropriations Act (Page 153)

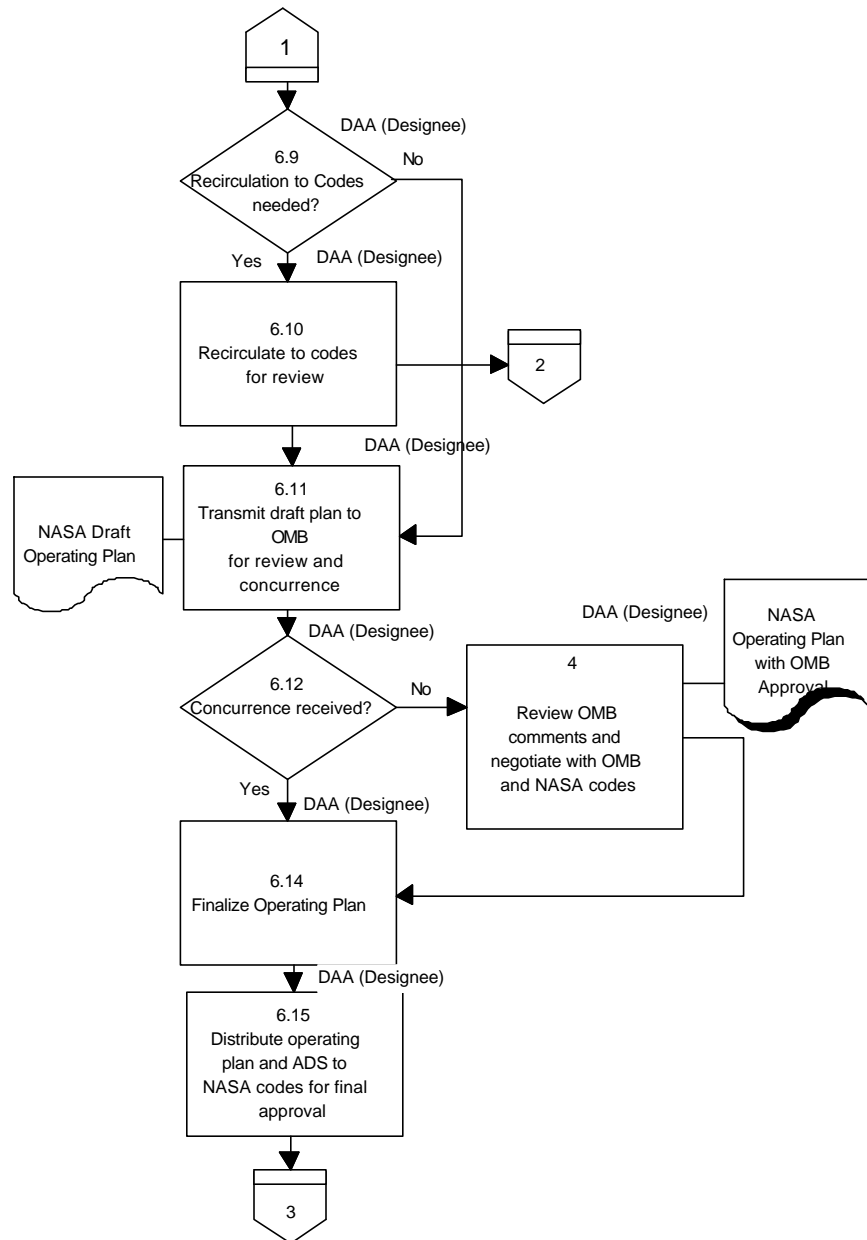
Note: References available in NASA Office of Legislative Affairs

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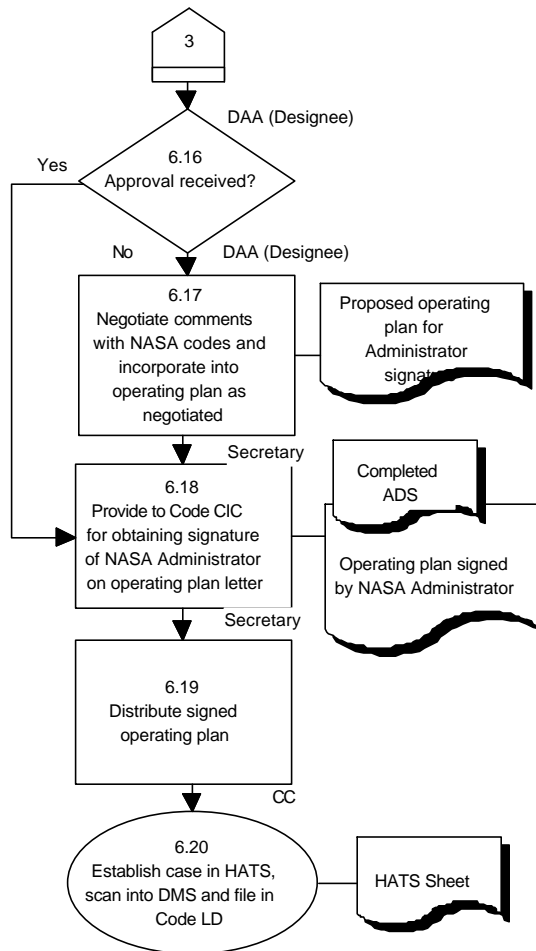
5. Flowchart



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6. Procedure

Step	Actionee	Action
6.0		VA-HUD-Independent Agencies Appropriations Act Signed by the President.
6.1	DAA (designee)	Review initial operating plan received from Code B for consistency with Congressional direction in Appropriations Act.
6.2	DAA (designee)	Determine if draft operating plan is consistent with Congressional direction in Appropriations Act. If initial operating plan is consistent with Congressional direction, proceed to step 6.4. If initial operating plan is not consistent with Congressional direction proceed to step 6.3.
6.3	DAA (designee)	Coordinate with Code B to make revisions to draft operating plan and then proceed to step 6.4.
6.4	DAA (designee)	Issue draft operating plan for Agency review and concurrence and assign specific due date. Assignment of due date is based on lead time required to provide plan to Congress by timeframe specified.
6.5	DAA (designee)	Determine if clearance and/or comments on draft operating plan are received by due date. If comments received, proceed to step 6.7. If due date not met, go to step 6.6.
6.6	DAA (designee)	DAA asks LAS to contact codes that have missed due date. LAS negotiates revised due date with Codes that did not meet due date. LAS contacts Codes by email and maintains email message as record of renegotiated due date. Go to Step 6.5
6.7	DAA (designee)	Review comments. If comments materially change initial meaning of document, clear response with Code B. Determination based on the knowledge, judgement and experience of the DAA (designee).
6.8	DAA (designee)	Incorporate comments received. Decision whether comments will be included in operating plan is determined by DAA (designee) based on knowledge of program and expertise. If substantive comments are not accepted, program office is notified and initials regarding disposition are noted on comments document.
6.9	DAA/designee	Determine if draft operating plan must be recirculated to Codes for clearance. Determination of whether or not recirculation of operating plan is required is based on experience, judgment and knowledge of DAA(designee). If recirculation of operating plan not needed, proceed to step 6.11. If recirculation of

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		comments required, proceed to step 6.10.
6.10	DAA/designee	Recirculate draft operating plan to appropriate codes for review. Determination of which codes need to review based on specific nature of comments as well as the judgement of the DAA (designee). Proceed to step 6.5.
6.11	DAA (designee)	Send plan to OMB for Administration review and clearance.
6.12	DAA (designee)	Determine if OMB concurrence received. If concurrence received, proceed to step 6.14 . If concurrence is not received and comments provided, proceed to step 6.13.
6.13	DAA (designee)	Review OMB comments. Incorporate OMB comments or negotiate the resolution to any issues with OMB and NASA Codes so that the outcome of negotiation is Administration approved operating plan. Determination of whether negotiation with NASA Codes is necessary is made by DAA based on knowledge and experience. Note fact that OMB has approved in the body of the operating plan. Proceed to step 6.14
6.14	DAA (designee)	Finalize operating plan letter.
6.15	DAA (designee)	Distribute OMB approved operating plan letter and ADS (NHQ Form 117) to codes for final approval signature. Determination of which codes receive ADS depends on content of the operating plan and the judgement and experience of the DAA (designee). Date of OMB approval noted on ADS.
6.16	DAA (designee)	Determine if approval from Codes is received. If so, proceed to step 6.18. If approval is not received, proceed to step 6.17.
6.17	DAA (designee)	Negotiate comments with NASA codes and adjust operating plan as negotiated. Final determination of adjustments is made by the DAA based on knowledge, experience and judgement.
6.18	Secretary	Take operating plan letter and completed ADS form to CIC to obtain Administrator signature on operating plan letter. After letter is signed by the NASA Administrator, CIC returns letter to Secretary, Code LB.
6.19	Secretary	Send operating plan to Congress and distribute copies of signed operating plan per guidance from DAA.
6.20	CC	Establish case in HATS; scan into DMS; file copy of operating plan and completed ADS in Code LD.

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7. Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Completed ADS	Code LB	Code LD	Hard copy	Schedule I, Item 28A	Retire to Federal Record Center when 5 years old.
NASA Operating Plan with OMB Approval	Code LB	Code LD	Hard copy	Schedule 1, Item 25	Destroy or delete when work is completed or when no longer needed for operating purposes
Proposed Operating Plan for Administrator Signature	Code LB	Code LD	Hard copy	Schedule 1, Item 25	Destroy or delete when work is completed or when no longer needed for operating purposes
Operating Plan signed by NASA Administrator	Code LB	Code LD	Hard Copy	Schedule I, Item 28A	Retire to Federal Record Center when 5 years old.
HATS Sheet	Code LB	Code LD Files	Hard Copy	Schedule 1, Item 27(A)	Retain for 5 years and then to Federal Records Center.